



BARNES & THORNBURG

600 One Summit Square
Fort Wayne, Indiana 46802
(260) 423-9440

PATENT APPLICATION IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Customer No.: 23641

Application No.: 09/406,290

Confirmation

No.: 1448

Filing Date: September 24, 1999

Group Art

Unit: 3627

Examiner

Name: Christopher R. Buchanan

Attorney

Docket No.: 37168/82045

First Named

Inventor: Stephen H. Lewis

Title:

METHOD AND APPARATUS
FOR PROVIDING
RETIREMENT INCOME
BENEFITS

Certificate Under 37 CFR 1.8(a)

I hereby certify that this correspondence is
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Amendments, Assistant Commissioner for
Patents, Washington, D.C. 20231

on December 20, 2002

Bobby B. Gillenwater

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

ENCLOSURES (check all that apply)

- | | |
|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Express Abandonment Request |
| <input checked="" type="checkbox"/> Fee Attached | <input type="checkbox"/> Information Disclosure Statement |
| <input checked="" type="checkbox"/> Amendment/Response | <input type="checkbox"/> Certified Copy of Priority Document(s) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Response to Missing Parts/Incomplete Application |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |
| <input checked="" type="checkbox"/> Extension of Time Request | |

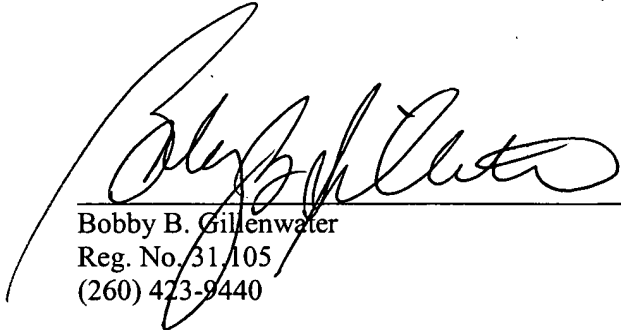
- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-relating Papers
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Additional Enclosure(s) (please identify below):

☒ Receipt Postcard

Remarks:

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Bobby B. Gillenwater
Reg. No. 31,105
(260) 423-9440

Date: December 20, 2002



3627\$

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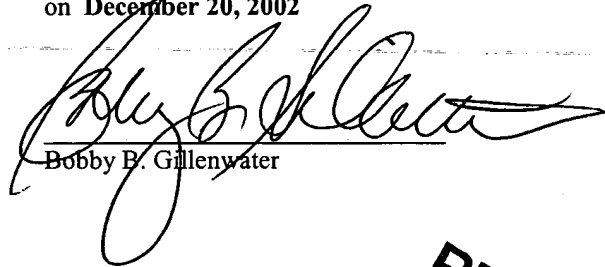
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Examiner Name: Christopher R. Buchanan
Attorney Docket No.: 37168/82045
First Named Inventor: Stephen H. Lewis
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FEE TRANSMITTAL FOR FY 2002

TOTAL AMOUNT OF PAYMENT: \$ 920.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 CFR 1.16 and 1.17 and credit any overpayments to:

Deposit Account Number: 02-1010 (37168/82045)

Deposit Account Name: Barnes & Thornburg

- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

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FEE CALCULATION

1. Basic Filing Fee:

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description	Fee Paid
1001	\$740.00	2001	\$370.00	Utility Filing Fee	
1006	\$740.00	2006	\$370.00	Utility Filing Fee (CPA)	
1002	\$330.00	2002	\$165.00	Design Filing Fee	
1007	\$330.00	2007	\$165.00	Design Filing Fee (CPA)	
1003	\$510.00	2003	\$255.00	Plant Filing Fee	
1004	\$740.00	2004	\$370.00	Reissue Filing Fee	
1005	\$160.00	2005	\$80.00	Provisional Filing Fee	
SUBTOTAL (1)					0.00

2. Extra Claim Fees:

	Extra Claims	Fee from Below	Fee Paid
Total Claims	-20**=	x	0.00
Independent Claims	- 3**=	x	0.00
Multiple Dependent Claim			0.00
SUBTOTAL (2)			0.00

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description
1202	\$18.00	2202	\$9.00	Claims in excess of 20
1201	\$84.00	2201	\$42.00	Independent claims in excess of 3
1203	\$280.00	2203	\$140.00	Multiple dependent claims, if not paid
1204	\$84.00	2204	\$42.00	** Reissue independent claims over original patent
1205	\$18.00	2205	\$9.00	** Reissue claims in excess of 20 and over original patent

** or number previously paid, if greater; For Reissues, see above. For multiple dependent claims, pay fee only once no matter how many multiple dependent claims you have.

3. Additional Fees:

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description	Fee Paid
1051	\$130.00	2051	\$65.00	Surcharge - late filing fee or oath	
1052	\$50.00	2052	\$25.00	Surcharge - late provisional filing fee or cover sheet	
1053	\$130.00	1053	\$130.00	Non-English specification	
1812	\$2,520.00	1812	\$2,520.00	For filing a request for ex parte reexamination	
1804	\$920.00*	1804	\$920.00*	Requesting publication of SIR prior to Examiner action	
1805	\$1,840.00*	1805	\$1,840.00*	Requesting publication of SIR after to	

				Examiner action	
1251	\$110.00	2251	\$55.00	Extension for reply within first month	
1252	\$400.00	2252	\$200.00	Extension for reply within second month	
1253	\$920.00	2253	\$460.00	Extension for reply within third month	920.00
1254	\$1,440.00	2254	\$720.00	Extension for reply within fourth month	
1255	1,960.00	2255	\$980.00	Extension for reply within fifth month	
1401	\$320.00	2401	\$160.00	Notice of Appeal	
1402	\$320.00	2402	\$160.00	Filing a brief in support of an appeal	
1403	\$280.00	2403	\$140.00	Request for oral hearing	
1451	\$1,510.00	1451	\$1,510.00	Petition to institute a public use proceeding	
1452	\$110.00	2452	\$55.00	Petition to revive - unavoidable	
1453	\$1,280.00	2453	\$640.00	Petition to revive - unintentional	
1501	\$1,280.00	2501	\$640.00	Utility issue fee	
1502	\$460.00	2502	\$230.00	Design issue fee	
1503	\$620.00	2503	\$310.00	Plant issue fee	
1504	\$300.00	1504	\$300.00	Publication Fee for early, voluntary, or normal Publication	
1460	\$130.00	1460	\$130.00	Petitions to the Commissioner	
1807	\$50.00	1807	\$50.00	Processing fee for provisional applications	
1806	\$180.00	1806	\$180.00	Submission of Information Disclosure Statement	
8021	\$40.00	8021	\$40.00	Recording each patent assignment per property (times number of properties)	
1809	\$740.00	2809	\$370.00	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	\$740.00	2810	\$370.00	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	\$740.00	2801	\$370.00	Request for Continued Examination (RCE)	
1802	\$900.00	1802	\$900.00	Request for expedited examination of a design application	

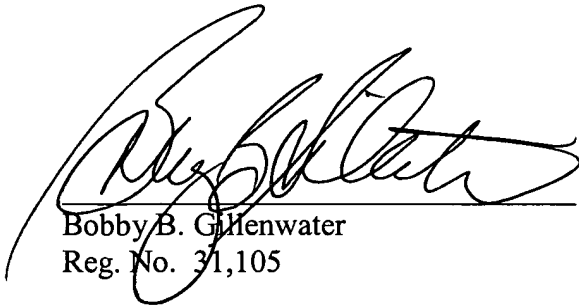
Other fee (specify): _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

920.00

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